

### **III. Patent Files from Dialog**

#### **A. All Databases**

File 324:GERMAN PATENTS FULLTEXT 1967-200950

(c) 2009 UNIVENTIO/THOMSON

File 348:EUROPEAN PATENTS 1978-200950

(c) 2009 European Patent Office

File 349:PCT FULLTEXT 1979-2009/UB= 20091210|UT= 20091203

(c) 2009 WIPO/Thomson

File 344:Chinese Patents Abs Jan 1985-2006/Jan

(c) 2006 European Patent Office  
 File 347:JAPIO Dec 1976-2009/Aug(Updated 091130)  
 (c) 2009 JPO & JAPIO  
 File 350:Derwent WPIX 1963-2009/UD= 200979  
 (c) 2009 Thomson Reuters  
 File 371:French Patents 1961-2002/BOPI 200209  
 (c) 2002 INPI. All rts. reserv.

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Set	Items	Description
S1	4426	(ELECTRONIC OR COMPUTERIS? OR COMPUTERIZ? OR AUTOMATED)(5N- ) (TRADE OR TRADES OR TRADING)
S2	677777	BID OR BIDS OR OFFER OR OFFERS
S3	1432566	ENGINE OR ENGINES
S4	4153	(S2 OR S3)(5N)MATCHING
S5	117199	(S2 OR S3)(5N)(SELECT? OR CHOOS? OR SPECIF? OR IDENTIF? OR COMPARE? OR COMPARIS?)
S6	261290	(FIRST OR PRIMARY OR 1ST)(5N)(ORDER OR ORDERS)
S7	216150	(SECOND OR SECONDARY OR 2ND)(5N)(ORDER OR ORDERS)
S8	2472	(INTERNAL OR EXTERNAL OR MULTIPLE)(5N)(MARKET OR MARKETS)
S9	1337	S7(5N)(LINK OR LINKS OR LINKING)
S10	565	S7(5N)(SHARE OR SHARES OR SHARING OR ROUTE OR ROUTING)
S11	53	AU= (MONROE, F? OR MONROE F? OR FRED(2N)MONROE OR BRUMFIELD, H? OR BRUMFIELD H? OR HARRIS(2N)BRUMFIELD)
S12	299	S1(S)(S4 OR S5)
S13	24	S12(S)(S6 OR S7)
S14	1	S13(S)(S9 OR S10)
S15	0	S11(S)S12
S16	0	S11(S)S1
S17	47	S11 AND S1
S18	32	S17 AND IC= G06Q
S19	5	S18 AND (S4 OR S5)

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14/3,K/1 (Item 1 from file: 350)  
 DIALOG(R)File 350: Derwent WPIX  
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0018229585 - Drawing available  
 WPI ACC NO: 2008-L49918/200867  
 XRPX Acc No: N2008-846828  
 Combined orders trading method for automated exchange system, involves  
 placing unexecuted components in book according to predetermined program  
 when components are not completely matching against order component  
 maintained in database  
 Patent Assignee: SMITH E C (SMIT-I)  
 Inventor: SMITH E C  
 Patent Family (1 patents, 1 countries)

## IV. Text Search Results from Dialog

### A. Abstract Databases

File 2:INSPEC 1898-2009/Dec W1  
(c) 2009 The IET  
File 35:Dissertation Abs Online 1861-2009/Nov  
(c) 2009 ProQuest Info&Learning  
File 65:Inside Conferences 1993-2009/Dec 11  
(c) 2009 BLDSC all rts. reserv.  
File 99:Wilson Appl. Sci & Tech Abs 1983-2009/Nov  
(c) 2009 The HW Wilson Co.  
File 474:New York Times Abs 1969-2009/Dec 12  
(c) 2009 The New York Times  
File 475:Wall Street Journal Abs 1973-2009/Dec 12  
(c) 2009 The New York Times  
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13  
(c) 2002 Gale/Cengage  
File 139:EconLit 1969-2009/Nov  
(c) 2009 American Economic Association

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Set	Items	Description
S1	7871	(ELECTRONIC OR COMPUTERIS? OR COMPUTERIZ? OR AUTOMATED)(5N- ) (TRADE OR TRADES OR TRADING)
S2	646601	BID OR BIDS OR OFFER OR OFFERS
S3	206274	ENGINE OR ENGINES
S4	1062	(S2 OR S3)(5N)MATCHING
S5	21336	(S2 OR S3)(5N)(SELECT? OR CHOOS? OR SPECIF? OR IDENTIF? OR COMPARE? OR COMPARIS?)
S6	138743	(FIRST OR PRIMARY OR 1ST)(5N)(ORDER OR ORDERS)
S7	132957	(SECOND OR SECONDARY OR 2ND)(5N)(ORDER OR ORDERS)
S8	7015	(INTERNAL OR EXTERNAL OR MULTIPLE)(5N)(MARKET OR MARKETS)
S9	224	S7(5N)(LINK OR LINKS OR LINKING)
S10	104	S7(5N)(SHARE OR SHARES OR SHARING OR ROUTE OR ROUTING)
S11	21	AU= (MONROE, F? OR MONROE F? OR FRED(2N)MONROE OR BRUMFIELD, H? OR BRUMFIELD H? OR HARRIS(2N)BRUMFIELD)
S12	41	S1 AND (S4 OR S5)
S13	0	S12 AND (S6 OR S7)
S14	0	S12 AND (S9 OR S10)
S15	6989	MULTIPLE(4N)ORDER? ?
S16	0	S12 AND S15
S17	1	S12 AND S8
S18	0	S11 AND S1
S19	0	S11 AND S8

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17/3,K/1 (Item 1 from file: 2)  
DIALOG(R)File 2: INSPEC

## V. Text Search Results from Dialog

### A. Full Text Databases

File 625: American Banker Publications 1981-2008/Jun 26  
(c) 2008 American Banker  
File 268: Banking Info Source 1981-2009/Dec W1  
(c) 2009 ProQuest Info&Learning  
File 626: Bond Buyer Full Text 1981-2008/Jul 07  
(c) 2008 Bond Buyer  
File 267: Finance & Banking Newsletters 2008/Sep 29  
(c) 2008 Dialog  
File 608: MCT Information Svc. 1992-2009/Dec 12  
(c) 2009 MCT Information Svc.  
File 9: Business & Industry(R) Jul/1994-2009/Dec 10  
(c) 2009 Gale/Cengage  
File 16: Gale Group PROMT(R) 1990-2009/Nov 16  
(c) 2009 Gale/Cengage  
File 20: Dialog Global Reporter 1997-2009/Dec 12  
(c) 2009 Dialog  
File 15: ABI/Inform(R) 1971-2009/Dec 11  
(c) 2009 ProQuest Info&Learning  
File 148: Gale Group Trade & Industry DB 1976-2009/Dec 12  
(c) 2009 Gale/Cengage  
File 160: Gale Group PROMT(R) 1972-1989  
(c) 1999 The Gale Group  
File 275: Gale Group Computer DB(TM) 1983-2009/Nov 10  
(c) 2009 Gale/Cengage  
File 610: Business Wire 1999-2009/Dec 12  
(c) 2009 Business Wire.  
File 613: PR Newswire 1999-2009/Dec 12  
(c) 2009 PR Newswire Association Inc  
File 621: Gale Group New Prod. Annou.(R) 1985-2009/Nov 02  
(c) 2009 Gale/Cengage  
File 636: Gale Group Newsletter DB(TM) 1987-2009/Nov 16  
(c) 2009 Gale/Cengage  
File 624: McGraw-Hill Publications 1985-2009/Dec 11  
(c) 2009 McGraw-Hill Co. Inc  
File 634: San Jose Mercury Jun 1985-2009/Dec 10  
(c) 2009 San Jose Mercury News  
File 810: Business Wire 1986-1999/Feb 28  
(c) 1999 Business Wire  
File 813: PR Newswire 1987-1999/Apr 30  
(c) 1999 PR Newswire Association Inc

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Set	Items	Description
S1	242898	(ELECTRONIC OR COMPUTERIS? OR COMPUTERIZ? OR AUTOMATED)(5N- ) (TRADE OR TRADES OR TRADING)
S2	23456810	BID OR BIDS OR OFFER OR OFFERS
S3	2926337	ENGINE OR ENGINES
S4	19928	(S2 OR S3)(5N)MATCHING
S5	669459	(S2 OR S3)(5N)(SELECT? OR CHOOS? OR SPECIF? OR IDENTIF? OR COMPARE? OR COMPARIS?)
S6	341378	(FIRST OR PRIMARY OR 1ST)(5N)(ORDER OR ORDERS)
S7	225841	(SECOND OR SECONDARY OR 2ND)(5N)(ORDER OR ORDERS)
S8	309370	(INTERNAL OR EXTERNAL OR MULTIPLE)(5N)(MARKET OR MARKETS)
S9	169	S7(5N)(LINK OR LINKS OR LINKING)
S10	1506	S7(5N)(SHARE OR SHARES OR SHARING OR ROUTE OR ROUTING)
S11	0	AU= (MONROE, F? OR MONROE F? OR FRED(2N)MONROE OR BRUMFIELD, H? OR BRUMFIELD H? OR HARRIS(2N)BRUMFIELD)
S12	1060	S1(S)(S4 OR S5)
S13	21	S12(S)(S6 OR S7)
S14	4	S13(S)S8
S15	0	S14(S)(S9 OR S10)
S16	4	RD S14 (unique items)
S17	0	S13(S)(S9 OR S10)

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16/3,K/1 (Item 1 from file: 267)  
DIALOG(R)File 267: Finance & Banking Newsletters  
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04643741  
It's Gray Out There  
Nina Mehta  
Traders  
June 1,2008 DOCUMENT TYPE: NEWSLETTER  
PUBLISHER: SOURCE MEDIA  
LANGUAGE: ENGLISH WORD COUNT: 2566 RECORD TYPE: FULLTEXT

(c) SOURCE MEDIA All Rts. Reserv.

#### TEXT:

...dark pools in search of liquidity: automated indications of interest.  
"The distribution of electronic IOIs can be dangerous," says Greg Tusar,  
head of Goldman Sachs **Electronic**  
**Trading**. "When you're asking people to trust your pool  
enough to put substantially sized orders in it, IOIs are a leak in the  
bucket."  
Credit...

...of the same thing: messages that alert another pool that liquidity in a  
certain name resides in the pool sending the message. If the second  
**market** or **multiple** pools have  
potential contra-side interest, those pools must send either an  
**order** back to the **first** pool or a